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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)

2.  Small Entity Status is hereby asserted.

3.  Specification [Total Pages: 29]  
(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Sequence Listing, a table, or a computer program listing appendix.
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4.  Drawing(s) /35 USC 113/ [Total Sheets: 10]

5.  Oath or Declaration [Total Pages : 3]

- a.1.  Newly executed (original or copy)
- a.2.  Unexecuted
- b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)

i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named  
in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6.  Application Data Sheet (see 37 CFR 1.76)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below, and in a preliminary amendment, or in an Application Data Sheet :

Continuation       Divisional       Continuation-in-part (CIP)      of prior application No.

Prior Application Information: Examiner      Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference therein. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS



000513

PATENT TRADEMARK OFFICE

Attorney Docket No.: 2001\_1542A

First Named Inventor : Hideki HAYASHI et al.

Title: OPTICAL HEAD AND APPARATUS FOR AND METHOD OF  
STORING AND REPRODUCING OPTICAL INFORMATION

Express Mail Label No.:

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

7.  CD-ROM or CD-R in duplicate, large table or computer program (Appendix)

8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a.  Computer Readable Form
- b. Specification Sequence Listing on:
  - i.  CD-ROM or CD-R (2 copies); or
  - ii.  Paper
- c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

- 9.  Assignment Papers (cover sheet & document(s))
- 10.  37 CFR 3.73(b) Statement (when there is an assignee)
- 11.  [] Power of Attorney
- 12.  English Translation Document (if applicable)
- 13.  Information Disclosure Statement (IDS)/PTO-1449
- 14.  Copies of IDS Citations
- 15.  Preliminary Amendment
- 16.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- 17.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- 18.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.
- 19.  Other **COVER LETTER FOR APPLICATION FILED WITHOUT EXECUTED DECLARATION**

By:

Michael S. Huppert  
Registration No. 40,268

WENDEROTH, LIND & PONACK, L.L.P.  
2033 "K" Street, N.W., Suite 800  
Washington, D.C. 20006-1021  
Phone: (202) 721-8200  
Fax: (202) 721-8250

October 12, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Hideki HAYASHI et al.

Serial No. NEW

: Attn: APPLICATION BRANCH

Filed October 12, 2001

: Attorney Docket No. 2001\_1542A

OPTICAL HEAD AND APPARATUS FOR AND  
METHOD OF STORING AND REPRODUCING  
OPTICAL INFORMATION

**PATENT OFFICE FEE TRANSMITTAL FORM**

Assistant Commissioner for Patents,  
Washington, DC 20231

Sir:

Attached hereto is a check in the amount of \$740.00 to cover Patent Office fees relating to filing the following attached papers:

New application .....	<u>\$740.00</u>
Assignment for Recordal .....	\$
Additional Claims Fee:	
Excess of Twenty .....	\$
Independent .....	\$
Multiple Dependent Fee .....	\$

A duplicate copy of this paper is being submitted for use in the Accounting Division, Office of Finance.

*The Commissioner is authorized to charge any deficiency or to credit any overpayment associated with this communication to Deposit Account No. 23-0975, with the EXCEPTION of deficiencies in fees for multiple dependent claims in new applications.*

Respectfully submitted,

Hideki HAYASHI et al.

By Michael S. Huppert  
Michael S. Huppert  
Registration No. 40,268  
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October 12, 2001

[Check No. 46923]  
2001\_1542A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Hideki HAYASHI et al. : Attn: APPLICATION BRANCH

Serial No. NEW : Docket No. 2001\_1542A

Filed October 12, 2001 :

OPTICAL HEAD AND APPARATUS FOR  
AND METHOD OF STORING AND  
REPRODUCING OPTICAL INFORMATION

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEE FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975.

**COVER LETTER FOR APPLICATION FILED  
WITHOUT EXECUTED DECLARATION**

Assistant Commissioner for Patents,

Washington, DC 20231

Sir:

The above-identified application has been submitted without an executed oath or declaration pursuant to 37 CFR 1.41(c).

It is respectfully requested that this application be assigned a serial number and awarded a filing date pursuant to 37 CFR 1.53.

A duly executed oath or declaration pursuant to 37 CFR 1.63 will be submitted after notification by the U.S. Patent and Trademark Office pursuant to 37 CFR 1.53(f).

A non-executed copy of the Declaration and Power of Attorney, containing the inventorship information, is attached. It is respectfully requested that all communications be directed to the firm indicated on the attached Declaration and Power of Attorney, namely:

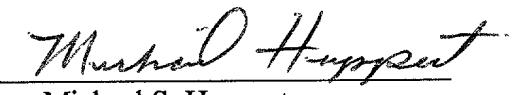
WENDEROTH, LIND & PONACK, L.L.P.

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Washington, D.C. 20006-1021

The required U.S. Patent and Trademark Office Filing Fee is submitted herewith.

Respectfully submitted,

Hideki HAYASHI et al.

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